

**Item 1: Cover Page**  
**Part 2B of Form ADV: Brochure Supplement**  
**April 2017**

**James Edward Harris**  
**Southwestern Advisory Group, LLC**

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This brochure supplement provides information about James E. Harris that supplements our brochure. You should have received a copy of that brochure. Please contact Cole Gilliam Parks, Chief Compliance Officer if you did not receive Southwestern Advisory Group's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Harris is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD #4004078.

## Item 2: Educational Background & Business Experience

**James Edward Harris**

**Year of Birth:** 1953

### **Educational Background:**

- 1981: University of Texas Dental School, DDS
- 1975: Texas Tech University, Zoology, BA

### **Business Background:**

- 03/2016 – Present Southwestern Advisory Group LLC:  
Investment Adviser Representative
- 03/2016 – Present Purshe Kaplan Sterling Investments, Inc.; Registered Representative
- 08/2014 – 03/2016 Ameriprise Financial Services, Para planner
- 09/2010 – 11/2014 First Allied Advisory Services, Inc.;  
Investment Adviser Representative
- 02/2005 – 10/2010 Greenbook Investment Management, Inc.;  
Investment Adviser Representative

### **Exams, Licenses & Other Professional Designations:**

- 10/2014: Series 7
- 11/1999: Series 66
- 04/1987: Texas Insurance License #674520

## Item 3: Disciplinary Information

### **Civil Judicial Disclosure:**

Civil Litigation was filed in Gray County, Texas in July, 2008, alleging fraud, negligent misrepresentation, violation of Texas Insurance Code, violation of Texas Deceptive Trade Practices Act, unjust enrichment, breach of fiduciary duty, negligence/malpractice. Mr. Harris denied all of the plaintiff's allegations. When the plan offered by Mr. Harris was initially implemented by the Plaintiff, the plan was in compliance with IRS rules. Two years later, the IRS changed the plan regulations, creating a conflict. The parties resolved this complaint without any admission of liability or any judgment. The parties determined that it was in their interest to settle the complaint in order to avoid the expenses associated with litigation. The total award was \$77,500.00 of which Mr. Harris contributed \$38,750 toward the settlement.

### **Bond/Judicial Lien Disclosure:**

Mr. Harris received several IRS liens for tax periods 2002, 2003, 2006, 2010, 2011, and 2012 filed in Taylor County, Texas totaling \$136,117.88. He was granted repayment by installments due to expanded personal and family expenses which is deducted monthly. The term of the installment agreement is sixty months to end in 2021.

#### **Item 4: Other Business Activities**

Mr. Harris is a registered representative of Pursue Kaplan Sterling Investments, Inc., member FINRA/SIPC, and licensed insurance agent. As a result of these transactions, he may receive normal and customary commissions. A conflict of interest exists as these commissionable securities sales create an incentive to recommend products based on the compensation earned. To mitigate this potential conflict, Mr. Harris will act in the client's best interest.

He is also Vice President of Investment Advisory Services. He spends 8 hours during his trading hours on this activity. His role involves general duties of Vice President and Advisor.

#### **Item 5: Additional Compensation**

Mr. Harris does not receive any other economic benefit for providing advisory services in addition to advisory fees.

#### **Item 6: Supervision**

Cole Gilliam Parks, Chief Compliance Officer of Southwestern Advisory Group, LLC, supervises and monitors Mr. Harris' activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Mr. Parks if you have any questions about Mr. Harris' brochure supplement at (254) 968- 6428.

#### **Item 7: Requirements for State-Registered Advisers**

Mr. Harris has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.